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Governing board chairmen of 176 selected postsecondary institutions were surveyed to determine their levels of knowledge, involvement, and satisfaction concerning policies for extra-income-earning activities of the faculty. Such activities provide benefits to the faculty, the university, and to society, but potential conflicts of interest and problems in the use of salaried time and institutional resources have become increasingly apparent. The current survey, with a response rate of 63 percent, revealed that trustees have limited knowledge of policies existing at their institutions and have few plans for substantial future involvement. They also indicated that they are unwilling to delegate responsibility for policy development and implementation to administration, faculty, or students. Information was obtained on nine broad policy areas: internal load and overload, external activities, conflict of interest, production/use of educational materials, patents and inventions, continuing education/extension, salary reimbursement for externally-funded projects, Paid sabbatical leave, and computer usage. A sample questionnaire is included. (SW)

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Ethical and Economic Issues: Trustee Interest and Involvement in Academic Policies for Faculty Consulting, Overload Teaching and Intellectual Property Rights

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ABSTRACT

Governing board chairmen of 176 selected postsecondary institutions were surveyed to determine their levels of knowledge, involvement, and satisfaction concerning policies for extra-income-earning activities of the faculty. Such activities provide benefits to the faculty, the university, and to society, but potential conflicts of interest and problems in the use of salaried time and institutional resources have become increasingly apparent. The current survey, with a response rate of 63%, revealed that trustees have limited knowledge of policies existing at their institutions and have few plans for substantial future involvement; however, they also indicated that they are unwilling to delegate responsibility for policy development and implementation to administration, faculty, or students.

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HE011 361

Ethical and Economic Issues: Trustee Interest and Involvement in Academic Policies for Faculty Consulting, Overload Teaching and Intellectual Property Rights

Steady state enrollments and funding in higher education require institutions to emphasize planning, evaluation and management of limited resources. Most importantly, these include the faculty and the resources used to support them. One policy/practice area that has not received much attention but is emerging as potentially troublesome is that of extra-income-earning activities (both internal and external to the university) of academic faculty and staff. A basic confusion exists as to how "faculty load" should be defined, thus making it virtually impossible to determine what is overload. So long as it remains unclear how much faculty commitment is due for basic salary, the employing institution may have no valid claim to royalties, property rights, or control over what faculty do during what they assume to be their own time.

Potential benefits of these extra-income-earning activities--to faculty, students, the university, and society--are many. These include exposing faculty to the practical needs of society and industry, providing society with the university's expertise, bridging the gap between academe and society, and providing financial benefits for both the faculty and the university. However, these same activities require time that may already be compensated as part of regular teaching load, often produce property whose ownership and income may belong to the university, and may result in potential conflicts of interest. Apparent or actual conflict of interest and questionable use of salaried time and institutional resources tend to erode public respect for higher education, and may increase its cost.

Society is in the process of rapid change and the traditional academic missions (i.e., teaching, scholarship and public service) seem more urgently

needed than ever. These have been supported by the three pillars of academic personnel policy: 1) Tenure (employment security), 2) Academic freedom (freedom of thought and expression), and 3) Support of scholarly activity--including modest or light teaching loads. Yet there are serious problems that may be the result of inadequate policy/practice or the failure to enforce adequate policies that do exist. These problems seem particularly acute in the ethical and economic areas relating to supplemental income and conflict of interest. There are continued battles to protect freedom of thought and simultaneous resistance to the disclosure of outside interests that might create ethical conflicts. There is confusion between the role of the academic professional and that of the fee-for-service professional (who does not have a guaranteed salary, tenure, and academic freedom) or the blue collar worker (who is compensated in direct proportion to the number of hours--including overtime--worked). Even at institutions with "heavy teaching loads" the total number of hours devoted to teaching during a 12-month year will rarely exceed half or two-thirds of the total annual hours of a typical industrial worker or of other professionals. While academics typically report working 40-to-60-hour work weeks--including their scholarly work--this is typical of many other professions as well. This discretionary time afforded to academics, ultimately paid for by society, is made available for scholarly work and public service, with the understanding that it will benefit society. By design academics have been afforded the privilege of self-determination in the use of time for which they are guaranteed compensation--a privilege rarely available to other employees.

The most important reason for public support of higher education is unquestionably the education of the public. Scholarly work and public service

are the two other major functions for which society is providing resources to academic institutions. Research conducted in academic settings has provided major contributions to our standard of living. In our complex society the university scholar is increasingly called upon to serve the public interest as an unbiased source of expert advice. Successful fulfillment of this public service requires that the advice be both objective and expert. Meeting these standards is difficult at best, and the extensive for-personal-gain activities of many academics may create the appearance of, if not the actual fact of, conflict of interest. Even the most expert advice may be of little value to the public if its credibility is undermined.

The era when large increases of public resources were given to higher education with few questions asked has come to an end. The public is questioning both the university's degree of commitment to education and teaching and the relevance of university research to the problems of a high technology society. There is concern that the narrow disciplines of the academy are not in step with the realities of a multidisciplinary society. The decreasing economic advantage of a college education and forecasts of an increasing surplus of college graduates are also causing concern. There appears to be a loss in the credibility and integrity of academe as the expertise of academics has become increasingly employed by government and industry on a service-for-fee basis. For example, at the time of the famous Santa Barbara oil spill, few appropriate academic experts could be found who did not have some financial relationship with the oil industry. Similar connections exist with the food industry, the pharmaceutical industry and many other areas.

Many of these concerns are currently being raised by legislative bodies as evidenced by a request of a U.S. Senate Appropriations Subcommittee that the National Science Foundation make a study of faculty salaries. In the

spring of 1977 this NSF salary report received the following comment from the subcommittee:

> *"...The committee notes that the report limited its consideration to universities' salaries and neglected the fact that university polices are generally structured to allow, if not encourage, the earning of outside income by the faculty. For instance, the writing of income-producing books during normal working hours is a customary academic privilege. In contrast to industry, universities allow faculty-inventors to retain large shares of the royalties from the inventions, subject to government regulations that might apply because of Federal sponsorship. Universities generally allow faculty to spend from one-half to one day a week in consulting with no loss of academic pay. And some faculty even maintain substantial and continuing outside business responsibilities. Since all these types of activity are customary parts of remuneration provided by academic life, and since the income resulting from them can be substantial in the case of senior scientists, the committee repeats its request that NSF reexamine its salary policies to determine what new guidelines may be needed to offer reasonable assurance: 1) that faculty time being supported is actually being devoted to the grant-supporting activities and not to other income-producing efforts and 2) that the government is not creating inequities between the earned income of academic scientists and its own senior scientists."* (*HUD-Independent Agencies Subcommittee, Committee on Appropriations, U.S. Senate, June 21, 1977*).

Linnell and Marsh (1977a) interviewed faculty and administrators at ten research universitites about policy/practice discussed in this paper. Respondents identified many policy problem areas and indicated that policy review and revision was needed to maintain the integrity of academic institutions and to protect academic freedom from external pressures. In a related set of mail surveys (Linnell and Marsh, 1977b) identified problem areas were external consulting, production and use of educational materials, salary reimbursement and recovery, continuing education and overload teaching. Respondents from university central offices indicated that they had responsibility for establishing or recommending policy in the areas under study. In contrast, state-wide coordinating agencies and community college system offices had little responsibility in these areas. Higher education associations and academic professional associations generally had not established guidelines for their members, even when they used the part-time services of faculty.

Private foundations had also played a passive role, usually accepting whatever policies existed at grantee institutions.

In light of the serious policy problems that exist in these areas, it is imperative that appropriate decision-makers establish new policy or review enforcement of existing policy. Recent court proceedings have clearly established trustee board members as the legally responsible fiduciary agents of the university (Hendrickson and Mangum, 1977). However, trustees have historically remained unfamilar with the operations, budgeting, and spending of the institution and rely primarily upon senior administrators' decision and recommendations when board decisions are necessary. Welles (1977) indicated that trustees usually lack the time or the inclination to become very involved in the school's affairs.

An extensive survey on the composition of governing boards (Gomberg and Atelsek, 1977) provides background information on the trustees who serve on them. The authors identifed slightly more than 3,000 institutions but found that 30% of these were governed by multi-campus boards--boards that governed an average of 5.5 institutions. Trustees were usually white males (15% were women and less than 10% were from minority groups), well-educated, generally over 50, and largely professional. Nearly 20% of the trustees held appointments on more than one board. Trustees typically are very familar with profit-making corporations, but unfortunately, as Welles (1977) observes, the accepted practices of good business are often waived when businessmen serve as trustees. Less than business-like management has been the tradition of college boards of trustees despite sincere attempts to act in the best interests of colleges and universities under their guidance.

The purpose of the present study was to survey chairpersons of governing boards about policy/practices related to extra-income-earning activities at

their institutions. Respondents were asked to indicate their knowledge, satisfaction, current involvement and future involvement with each of nine policy areas. These responses indicate the role governing boards play--now and in the future--in these important policy-making areas.

METHOD

Survey Instrument

The survey instrument asked board chairpersons to respond to each of nine broad policy areas which span the focus of this study: internal load and overload, external activities, conflict of interest, production/use of educational materials, patents and inventions, continuing education/ extension, salary reimbursement for externally-funded projects, paid sabbatical leave, and computer usage. For each of these policy areas respondents indicated their KNOWLEDGE of their institutions' policies, their SATISFACTION with the policies, the board's CURRENT INVOLVEMENT with establishing policy, and its anticipated FUTURE INVOLVEMENT. In addition, board chairpersons indicated other board functions and responded to several open-ended questions related to these policies and whether or not the board should delegate responsibility for the establishment or implementation of them:

Sample and Response Rate

The population of institutions considered in this study was the 2,827 schools categorized by the Carnegie Commission of Higher Education (Carnegie Foundation, 1973). This classification scheme comprises five major divisions:

1. Major Doctoral-Granting Institutions (at least 10 doctoral degrees),
2. Comprehensive Universities and Colleges,
3. Liberal Arts Colleges (few or no professional/occupational programs),
4. Two-Year Schools, and
5. Professional and Other Specialized Institutions (Theology, Business, Art, Music, Law and Teacher Colleges that are not part of a broader institution; Medical schools were excluded from this classification in our study.)

Twenty to thirty schools from each of the Carnegie classifications were selected so as to balance the sample in terms of control (public vs. private), geographic locale, and enrollment size. Nine multi-campus systems governed by single boards and 48 members of the Association of American Universities were also included in the sample.

A total of 176 board chairpersons were sent surveys. Follow-up mailings--which included a post card and another copy of the survey--were sent to non-respondents. Respondents were asked to return the post card even if they did not intend to complete the survey. The postcard asked why the Chairperson did not intend to complete the survey (lack of knowledge of the policy areas, lack of relevance of the policy areas to their board, or an unwillingness to take time to complete the survey). Across all sample institutions, the response was 63%, 81 (46%) returned completed surveys and 30 (17%) returned just the post card. The response rate did not differ appreciably among the different Carnegie classifications or between public and private institutions. The sample and response rates are presented in more detail in Appendix II.

RESULTS AND DISCUSSION

Ratings of the Nine Policy Areas

For each of the nine policy areas five variables were analyzed:

1. Knowledge
2. Satisfaction
3. Current Involvement
4. Future Involvement
5. Anticipated Change in Involvement (difference between Future and Current Involvement)

These results are summarized in Table 1 and Appendix I. Board chairpersons gave the highest ratings to policy areas of "Paid Sabbatical Leave "(Knowledge, Satisfaction, Current Involvement, Future Involvement) and "Continuing Education/Extension "(Knowledge, Current Involvement and Future Involvement).

Ratings were lowest for "Patents and Inventions" (Current Involvement and Future Involvement) and "Production/Use of Educational Materials" (Knowledge, Current Involvement, and Future Involvement).

Across all nine policy areas board chairpersons indicated that their Knowledge of the policies at their institution tended to be "3-moderate" or less (on a five-point scale), while their Satisfaction with these policies was somewhat higher. The boards' Current Involvement with these policies was quite low. Respondents did indicate a statistically significant Anticipated Change in Involvement in each of the nine policy areas. Yet, in spite of this increased involvement, Future Involvement was still rated to be "3-moderate" or less. The areas with the largest anticipated increases in involvement (see Figure 1) were "Production/Use of Educational Materials," "Conflict of Interest," and "Internal Load and Overload." However, the changes in involvement were largely a function of the very low levels of involvement which currently exist. In the policy area, "Production/Use of Education Materials," for example, nearly 50% of the respondents indicated their Current Involvement was "1-Very Little (or none)." While the Anticipated Change in Involvement was one of the largest of the nine policy areas, about 25% of the respondents indicated that their Future Involvement would still be "1-Very Little (or none)."

Across all nine policy areas, ratings tended to be lowest for private institutions, and particularly for private liberal arts colleges. Many private liberal arts, private two-year, and private professional and specialized colleges indicated that some or all of the policy areas had limited relevance to small teaching colleges. Public institutions, private universities, and private comprehensive schools did not question the relevance of these policy areas.

Board Activity and Relation to Policy Area Ratings

Board chairpersons were asked to indicate the board's role in each of 12 possible board functions (see Appendix 1). Responses indicated that virtually all boards had some role in almost all of the functions. In some cases the role was primarily reviewing and approving work done by others (Specific Project Grants and Contracts, Faculty Salaries, Employment Benefit Packages, Establishing New Academic Units, and Granting Tenure). For some functions (Appointment of Chief Executive and Management of Investment), the role was that of a participant; plans were initiated, determined or developed by the board itself rather than by others. However, the level of board activity in these functions showed little relationship to any of the nine policy area ratings.

Open-Ended Comments

Chairpersons were asked open-ended questions related to the project:

1. Are there specific policy problems?
2. Are there particularly successful policies?
3. Are there other policy areas which should have been included in the study?
4. Should the board delegate responsibility for these policy areas?

The first three questions drew only occasional responses; only about 25% of the chairpersons responded. The most frequently mentioned policy area--both in terms of problems and successes --was Internal Load/Overload. The only additional policy areas mentioned more than once for inclusion in the study were "tenure/promotion policies" and "relationship to government."

Most chairpersons (79%) did respond to the question about whether or not responsibility for these areas should be delegated to administration, faculty and students. Individual responses ranged from "delegate responsibility

for all areas" to "delegate no responsibility for any of the areas." The consensus was that relatively little responsibility for these areas should be delegated; 48% of those responding (31 of 64) indicated that no responsibility should be delegated, while 38% indicated that only limited responsibility for specific areas should be delegated. Only 14% indicated that considerable responsibility should be delegated (see Table 2).

SUMMARY, CONCLUSION, AND IMPLICATIONS

Chairpersons of the governing boards of educational institutions were asked to complete a survey concerning their institutions' policies in nine areas related to extra-income-earning activities of faculty. The respondents were to indicate their boards' knowledge, satisfaction, current involvement and future involvement in each of the policy areas. Sixty-three percent of the chairpersons, representing institutions ranging from two-year colleges and specialized professional schools to major doctoral-granting universities, responded.

The surveys showed that chairpersons generally had only moderate or less knowledge of the policies and that board involvement in their determination had been rather limited. Respondents did indicate they they anticipated an increase in their involvement in each of the nine policy areas. However, even with this increase, future involvement in these areas would be only moderate. The areas in which the largest increase was anticipated were "Production/Use of Educational Materials," "Conflict of Interest" and "Internal Load and Overload."

Open-ended comments displayed a wide range of opinion about whether or not the board should take responsibility for these policy areas. However, most chairpersons felt that relatively little responsibility for them should be delegated to administration, faculty, and students.

In summary, it appears that the governing boards have relatively little involvement in determining these practices and generally have no more than moderate knowledge of what their institutions' policies actually are. While the board chairpersons generally feel that at least a major portion of the responsibility for the determination of these policies should reside with the board, even their anticipated future involvement is no more than moderate. Boards usually have legal responsibility for these policy areas, and, indeed, the results of this study indicate that trustees do not choose to delegate that responsibility to other constitutuencies. However, the study also indicates that these trustees have only limited knowledge of what policies exist at their own institutions and are apparently unwilling to become more involved. Either the authors are mistaken in their assessment of the importance of these areas or the governing boards have not yet realized the potential of their role in the shaping of policies pertaining to the extra-income-earning activities of faculty members.

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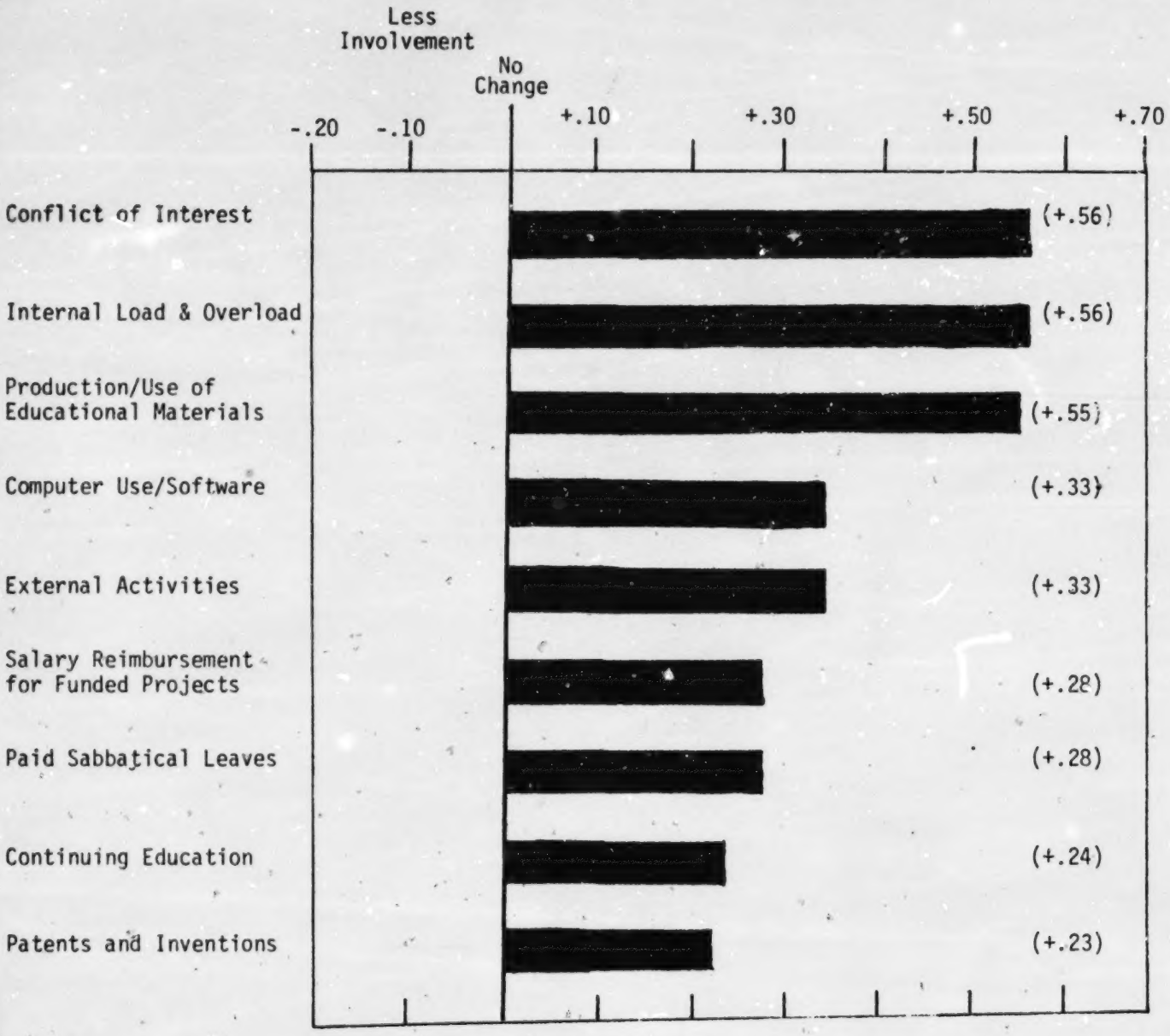
Figure I

Anticipated Change[1] in Involvement in Nine Policy Practice Areas



[1]Change is defined as: Change = Future Involvement - Current Involvement. Positive values indicate anticipated increases in involvement. Both Current Involvement and Anticipated Future Involvement were rated along a 5-point response scale: 1-Little (or none)... 3 Moderate...5-Extensive.

[2]Respondents indicated statistically significant increases in anticipated involvement in each of the nine policy areas.

TABLE ONE

Summary of Responses to Nine Policy/Practice Areas[1]

Ratings determined by responses based on the following five-point scale:

NA	1	2	3	4	5
not appropriate or do not know	very little (or none)		moderate		extensive

I. KNOWLEDGE of policies at your institution.

- *On the average, chairpersons responded in 5.0 of the nine possible areas with KNOWLEDGE Ratings between "3-moderate" and "5-extensive"[2] The mean response for all nine policy areas was 2.9.*
- *KNOWLEDGE was generally lower in "Private Schools", particularly lower in "Private Liberal Arts Institutions", and higher in "Research Universities".*
- *KNOWLEDGE was significantly lower for "Production/Use of Education Materials" (mean rating 2.3) ; and significantly higher for "Continuing Education/Extension" (mean rating 3.3) and "Paid Sabbatical Leaves" (mean rating 3.7) .*

II. SATISFACTION with existing policies at your institution.

- *Chairpersons responded in 5.7 areas of the nine possible with ratings of "3-moderate" or higher. The mean response for all nine policy areas was 3.3.*
- *SATISFACTION is much lower in Private "Liberal Arts Colleges".*
- *SATISFACTION was significantly higher for "Paid Sabbatical Leaves" (mean rating 3.7).*

III. CURRENT INVOLVEMENT with these policies during recent years.

- *Chairpersons responded in 3.9 areas with ratings of "3-moderate" or higher. The mean response was 2.5.*
- *INVOLVEMENT was generally lower in Private Institutions (except "Comprehensive" schools), lower in "Liberal Colleges" and generally higher in "Comprehensive" schools.*
- *INVOLVEMENT was significantly lower in "Production/Use of Education Materials" (mean rating 2.1) and "Patents and Inventions" (mean rating 2.2); and significantly higher in "Continuing Education/Extension" (mean rating 2.9) and "Paid Sabbatical Leaves" (mean rating 3.1).*

IV. FUTURE INVOLVEMENT with policies is likely to be ...

- *Chairpersons responded in 4.8 areas with ratings of "3-moderate" or higher. The mean response was 2.9.*
- *FUTURE INVOLVEMENT was significantly lower in "Private Institutions" (except "Comprehensive Schools").*
- *Relative to other areas FUTURE INVOLVEMENT is anticipated to be significantly lower in "Patents and Inventions" (mean rating 2.3); and Production/Use of Educational Materials (mean rating 2.6); and significantly higher in "Paid Sabbatical Leaves" (mean rating 3.4), and "Continuing Education/Extension (mean rating 3.2).*

1 - *Missing or "NA" responses were excluded from computation of means and statistical analysis involving means.*

2 - *The number of responses (out of the nine possible), which were "3-moderate" or higher, was computed separately for KNOWLEDGE, SATISFACTION, CURRENT INVOLVEMENT, and FUTURE INVOLVEMENT ratings. These were used to assess overall responses across the nine policy areas. Missing or "NA" responses were not counted as being "3-moderate" or higher.*

Table II

Paraphased Responses to the Question:[1]

"Do you feel that your board could delegate responsibility (including approval/disapproval) to administration/faculty/students"

I. (N=19) Delegate Responsibility in Specific Policy Areas

Internal Load/Overload (6)	Production/Use of Educational Materials (1)
Computer Use/Software (4)	Continuing Education/Extension (2)
Salary Reimbursement (3)	Paid Sabbaticals (1)
External Activities (2)	Conflict of Interest (0)
	Patents & Inventions (0)

II. (N=9) Delegate Considerable Responsibility

Delegate responsibility for all areas (1)
Delegate considerable responsibility (3)
Review policies only when deemed necessary by administration (3)
Board should be informed of policies (1)
Delegate responsibility on educational matters (1)

III. (N=24) Delegate Limited Responsibility

Board should actively review all policies (3)
Delegate responsibility for formulation and/or implementation (5)
Board should have considerable student/faculty administration input (7)
Delegate only to persons with appropriate expertise (1)
Delegate responsibility in a few areas only (7)[2]
Delegate responsibility after setting guidelines (1)

IV. (N=32) Delegate Little or No Responsibility[3]

Delegate only responsibility to carry out Board Policies (7)
Delegate none of the responsibility (25)

[1]Total of 64 chairpersons (out of 81 respondents) made a total of 84 responses to this question. Number in parentheses indicate the number making each response.

[2]The respondents generally indicated 2 or 3 specific areas (out of 9) which are included in category I of this table.

[3]An additional 17 respondents left this item blank, perhaps also indicating no desire to delegate responsibility.

SURVEY OF SELECTED CHAIRMEN OF COLLEGE/UNIVERSITY TRUSTEE BOARDS

"Ethical and Economic Issues: Trustee Interest and Involvement in Academic Policies for Faculty Consulting, Overload Teaching and Intellectual Property Rights."

On the basis of our previous research, we have selected the following nine policy areas as being of principal interest. Each broad area is really a collection of more specific inter-related policy questions. For each of the nine policy areas we are asking four questions: 1) is your board knowledgeable about your institution's policies/practices (KNOWLEDGE), 2) the degree of satisfaction with existing policies/practices (SATISFACTION), 3) the board's current/past involvement in setting existing policies/practices (CURRENT/PAST INVOLVEMENT), and 4) your projection of the board's future involvement (FUTURE INVOLVEMENT). For each question, try to answer from the perspective of your Board of Trustees. As indicated in our cover letter, your responses will remain strictly confidential. Neither your name nor the name of your institution will be connected to any of your responses.

For each of the nine policy areas please answer the following four questions.

KNOWLEDGE: Your board's KNOWLEDGE of the actual policies/practices at your institution is:

SATISFACTION: Your board's SATISFACTION with existing policies/practices at your institution is: *(leave blank if you do not know what policies/practices are in one of the policy areas)*

CURRENT INVOLVEMENT: The board's INVOLVEMENT during recent years has been:

FUTURE INVOLVEMENT: The board's FUTURE INVOLVEMENT in determining policies/practices is likely to be:

Put your response to each question, using the following response scale, in the boxes next to each policy area.

1 VERY LITTLE (or none) — 2 — 3 MODERATE — 4 — 5 EXTENSIVE — NA Not appropriate or do not know

ANTICIPATED INVOLVEMENT CHANGE	KNOW-LEDGE	SATIS-FACTION	CURRENT INVOLVE	FUTURE INVOLVE	GENERAL POLICY/PRACTICE AREAS *(each of the nine areas has been delineated by some of the key policy questions which might fall into it)*
+.56* High (73)	3.0 (79)	3.4 (70)	2.5 (79)	3.1 (73)	INTERNAL LOAD AND OVERLOAD: Is load specifically defined in terms of teaching and/or other activities? What institutional activities (internal consulting, additional teaching, research, curriculum development, administrative functions, etc.) are compensated with overload salary-during academic year/summer?
+.33 (72)	2.7 (78)	3.5 (69)	2.4 (79)	2.7 (72)	EXTERNAL ACTIVITIES: Are limits specified on time spent and/or salary earned for external activities (consulting, teaching at another institution, part-time employment) during the academic year?/summer months?
+.56* High (66)	2.9 (69)	3.3 (60)	2.4 (71)	3.0 (66)	CONFLICT OF INTEREST: Is there a clear statement of what "professional ethics" are expected? What "disclosure" of potential conflicts is required? Do faculty give "expert testimony" in areas which may give the appearance of a conflict with their industrial consulting? Do faculty serve as directors/principals in organizations doing business with the university?
+.55* High (62)	2.3* Low (68)	3.1 (58)	2.1 Low (68)	2.6* Low (62)	PRODUCTION/USE OF EDUCATION MATERIALS: Do faculty share royalties from textbooks written on university time and/or required in university courses? What university resources (office, library, computer, staff, etc.) can faculty use for development of materials which may result in personal financial gain? Who receives benefits from or owns non-textbook materials produced using some university resources?

Nos. in ( ) refer to the no. (out of 81) of responses. Missing values generally indicate that respondents felt the item was not appropriate or not known.

* - Indicates that mean rating differs significantly from the mean ratings of the other eight policy areas.

ANTICIPATED INVOLVEMENT CHANGE	KNOW-LEDGE	SATIS-FACTION	CURRENT INVOLVE	FUTURE INVOLVE	GENERAL POLICY/PRACTICE AREAS
+.23 (53)	2.6 (59)	3.1 (49)	2.2* Low (59)	2.5* Low (53)	PATENTS AND INVENTIONS: Who owns patents developed with university resources? What royalty sharing is specified between university and inventor? Are there policies concerning patents developed by faculty while consulting for external organizations?
+.24 (66)	3.3* High (71)	3.5 (66)	2.9* High (72)	3.2* High (66)	CONTINUING EDUCATION/EXTENSION: Are courses taught by regular faculty, outside instructors or a combination? Is teaching compensated with overload salary and regulated by the same policies as other overload activities? Is this instruction recognized as a contribution to the university? Can faculty teach related materials for a competing program at another institution?
+.28 (61)	2.6 (67)	3.3 (60)	2.3 (66)	2.7 (61)	SALARY REIMBURSEMENT FOR EXTERNALLY FUNDED PROJECTS: Is there policy for charging grants/contracts for faculty time during academic year?/during summer? Is the use of recovered funds specified (faculty replacement, general funds, departmental funds)? Do policies vary for different sponsors (industry, government, foundations)?
+.28 (71)	3.7* High (73)	3.7* High (71)	3.1 High (74)	3.4* High (71)	PAID SABBATICAL LEAVES: Is prior approval of sabbatical plan required and what is the basis of approval? Can faculty accept outside salary and how is the university's contribution adjusted?
+.33 (61)	2.7 (64)	3.2 (55)	2.4 (66)	2.9 (61)	COMPUTER USE AND SOFTWARE PRODUCTS: Is there clear policy on obtaining/using computer time, and whether it is paid for by external grants/projects or by the institution's resources? Who owns and has market rights to computer programs (software) developed by faculty/staff with some university resources? Does policy cover use of university computer facility for personal financial gain (external consulting, etc.) by faculty staff?
Average across all nine areas +.37	2.87	3.34	2.48	2.90	(no. of responses may be 81+ since one person may make several responses)

OPEN ENDED QUESTIONS

Please briefly describe any specific policy problems related to our study which have arisen at your institution. *(Please identify the general policy area--using the list on the previous page-- and then describe the specific problem.)*

Internal Load/Overload	9	Salary Reimbursement	0
External Activities	5	Paid Sabbatical Leave	2
Conflict of Interest	4	Computer Use & Software	0
Prod/Use of Ed.Mater.	2	Other General Comments	8
Patents and Inventions	0	None (or left blank)	55 (of 81)
Continuing Ed./Extension	3		

Please briefly describe any particularly successful policies related to our study which you have developed at your institution. *(Please identify the general policy area -- using the list on the previous page -- and then describe the specific policy.)*

Internal Load/Overload	5	Salary Reimbursement	1
External Activities	5	Paid Sabbatical Leave	4
Conflict of Interest	3	Computer Use & Software	1
Prod./Use of Ed. Mater.	3	Other General Comments	3
Patents and Inventions	7	None (or left blank)	54 (of 81)
Continuing Ed./Extension	3		

- please continue on next page -

(see TABLE TWO)

Do you feel that your board should delegate responsibility (including approval/disapproval of recommended policies/practices) to administration/faculty/students for any of the policy/practice areas considered in this study? If so, please indicate the policy area and explain why responsibility should be delegated.

_____

_____

_____

_____

_____

If you feel that there is any other broad policy area which should have been included in our study, please identify it along with the key policy questions.

(14 Chairpersons made 19 responses)

Tenure/Promotion	5	Presidential Powers	1	Enrollment Projections	1
Gov't Relationships	2	Evaluation	1	Student Involvement in Governance	1
Athletics	1	Student Fees	1	Duplication of Ed. Prog.	1
Academic Freedom	1	Student Government	1	None (or left blank)	67
Establish Salary Increases	1	Social Responsibility	1		

BACKGROUND/DEMOGRAPHIC INFORMATION

How long have you served as a member or chairman of the board? 9.25 Years 2.6 Months

On the average, how many hours per week do you spend fulfilling your role as board chairman?

7.4 Hours per Week

(see TABLE THREE)

BOARD FUNCTIONS: What is the role of the board in the following activities? Put a check under the column "PARTICIPATE" if the plans for these activities are initiated, determined, or developed by the board, check "APPROVE" if the plans of others are actively approved or disapproved by the board.

PARTIC-IPATE	APPROVE		PARTIC-IPATE	APPROVE	
____	____	Fund Raising Projects (General)	____	____	Appointment of Chief Executive Officer
____	____	Specific Project Grants/ Contracts	____	____	Appointment of Senior Administrators
____	____	Major Capital Expenditures	____	____	Establishment of New Academic Units
____	____	University Budget	____	____	Granting of Tenure to Faculty
____	____	Faculty Salary Scales/Increases	____	____	Management of Investments
____	____	Employee Benefit Packages	____	____	Personnel/Management Policies

What other major activities does your board either participate in or approve?

Establish Long Range Plans	4	Apt. New Board Members	2	New Academic Programs	2
None	3	Evaluate Management	2	Other Comments	13
Award Honorary Degrees	2	Student Life	3	Blank (no response)	57

Thank you for your cooperation. Please return the completed survey in the enclosed envelope.

For further inquiries, contact: Dr. Herbert W. Marsh, Office of Institutional Studies, University of Southern California, Los Angeles, California, 90007. Telephone: (213) 741-6503

APPENDIX II

Number Sampled and Response Rates for Each Cell of Sampling Matrix

CLASSIFICATION	No. of Institutions in 1973 Carnegie Report	No. of Institutions Sampled	No.(%) Completing the Survey	No.(%) Returning Postcard Indicating Lack of Relevancy/ Knowledge	No.(%) Returning Postcard Indicating Lack of Willingness/ Time to Complete Sur.	TOTAL NO.(%) RESPONDING
1. Research & Doctoral Granting Universities						
Public	108	31	17(55%)	1(3%)	4(13%)	22(71%)
Private	65	35	10(29%)	1(3%)	4(11%)	15(43%)
Total	173	66	27(41%)	2(3%)	8(12%)	37(56%)
2. Comprehensive University/College						
Public	308	14	7(50%)	0	2(14%)	9(64%)
Private	145	15	4(27%)	2(13%)	2(13%)	8(53%)
Total	453	29	11(38%)	2(7%)	4(14%)	17(59%)
3. Liberal Arts Colleges						
Public	28	4	2(50%)	1(25%)	0	3(75%)
Private	691	25	17(68%)	0	0	17(68%)
Total	719	29	19(66%)	1(3%)	0	20(69%)
4. Two-Year/Community Colleges						
Public	805	14	4(29%)	2(14%)	1(7%)	7(50%)
Private	256	10	4(40%)	0	2(20%)	6(60%)
Total	1061	24	8(33%)	2(8%)	3(13%)	13(54%)
5. Special						
Public	64	4	2(50%)	0	1(25%)	3(75%)
Private	357	15	8(53%)	2(13%)	4(26%)	14(93%)
Total	421	19	10(53%)	2(11%)	5(26%)	17(89%)
6. Multi-Campus Systems	-	9	5(56%)	0	1(11%)	6(67%)
TOTAL (across all classifications)						
Public	1313	76	37(49%)	4(5%)	9(12%)	50(66%)
Private	1514	100	43(43%)	5(5%)	12(12%)	60(60%)
Total	2827	176	81[1](46%)	9(5%)	21(12%)	111[1](63%)

1 - one chairperson returned a survey with no identification.